



#3 03C0

Attorney Docket No.: 15685P031

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

ROGER ROGARD, ET AL.

Application No.: 09/676,887

Filed: September 29, 2000

For: **DOWLINK TRANSMISSION IN A
WIRELESS DATA COMMUNICATION
SYSTEM HAVING A BASE STATION
WITH A SMART ANTENNA SYSTEM**

Art Group: Unassigned

Examiner: Unassigned

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

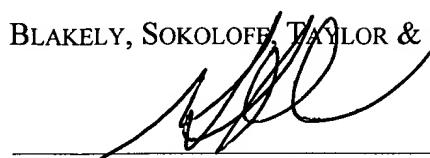
In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

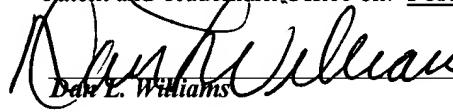


Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
Telephone: (503) 684-6200

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: February 20, 2001.



Dan L. Williams 02/20/01
Date

Please type a plus sign (+) inside this box



O P E J C R
FEB 26 2001
PATENT & TRADEMARK OFFICE

Approved for use through 09/30/2000, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

| | |
|-------------------------|-------|
| TOTAL AMOUNT OF PAYMENT | (\\$) |
|-------------------------|-------|

Complete if Known

| | |
|------------------------|--------------------|
| Application No. | 09/6/6,887 |
| Filing Date | September 29, 2000 |
| First Named Inventor | Roger Rogard |
| Examiner Name | Unassigned |
| Group/Art Unit | Unassigned |
| Attorney Docket Number | 15685P031 |

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to credit any overpayments to:

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

Charge Any Additional Fee(s) Required
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Applicant claims small entity status.
See 37 CFR 1.27.

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|---------------------|----------|--------------|----------|------------------------|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 101 | 710 | 201 | 355 | Utility filing fee | |
| 106 | 320 | 206 | 160 | Design filing fee | |
| 107 | 490 | 207 | 245 | Plant filing fee | |
| 108 | 710 | 208 | 355 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |
| SUBTOTAL (1) | | (\\$) | | | |

2. EXTRA CLAIM FEES

| Total Claims | - | Extra Claims | Fee from below | Fee Paid |
|--------------------|----------------------|----------------------|----------------------|----------------------|
| Independent Claims | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Multiple Dependent | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

*or number previously paid, if greater. For Reissues, see below

Large Entity Small Entity

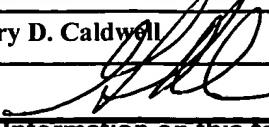
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|---------------------|----------|--------------|----------|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 80 | 202 | 40 | Independent claims in excess of 3 |
| 104 | 260 | 204 | 135 | Multiple Dependent claim, if not paid |
| 109 | 80 | 209 | 40 | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | (\\$) | | |

3. ADDITIONAL FEE

| Large Entity | Small Entity | Fee Description | Fee Paid |
|------------------------------------|--------------|---------------------|---|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) |
| 105 | 130 | 205 | 65 Surcharge - late filing fee or oath |
| 127 | 50 | 227 | 25 Surcharge - late provisional filing fee or cover sheet. |
| 139 | 130 | 139 | 130 Non-English specification |
| 147 | 2,520 | 147 | 2,520 For filing a request for reexamination |
| 112 | 920* | 112 | 920*Requesting publication of SIR prior to Examiner action |
| 113 | 1,840* | 113 | 1,840*Requesting publication of SIR after Examiner action |
| 115 | 110 | 215 | 55 Extension for response within first month |
| 116 | 390 | 216 | 195 Extension for response within second month |
| 117 | 890 | 217 | 445 Extension for response within third month |
| 118 | 1,390 | 218 | 695 Extension for response within fourth month |
| 128 | 1,890 | 228 | 945 Extension for response within fifth month |
| 119 | 310 | 219 | 155 Notice of Appeal |
| 120 | 310 | 220 | 155 Filing a brief in support of an appeal |
| 121 | 270 | 221 | 135 Request for oral hearing |
| 138 | 1,510 | 138 | 1,510 Petition to institute a public use proceeding |
| 140 | 110 | 240 | 55 Petition to revive - unavoidable |
| 141 | 1,240 | 241 | 620 Petition to revive - unintentional |
| 142 | 1,240 | 242 | 620 Utility issue fee (or reissue) |
| 143 | 440 | 243 | 220 Design issue fee |
| 144 | 600 | 244 | 300 Plant issue fee |
| 122 | 130 | 122 | 130 Petitions to the Commissioner |
| 123 | 130 | 123 | 130 Petitions related to provisional applications |
| 126 | 180 | 126 | 180 Submission of Information Disclosure Stmt |
| 581 | 40 | 581 | 40 Recording each patent assignment per property (times number of properties) |
| 146 | 710 | 246 | 355 Filing a submission after final rejection (37 CFR 1.129(a)) |
| 149 | 710 | 249 | 355 For each additional invention to be examined (37 CFR 1.129(b)) |
| 179 | 710 | 279 | 355 Request for Continued Examination (RCE) |
| 169 | 900 | 169 | 900 Request for expedited examination of a design application |
| Other fee (specify) | | | |
| Other fee (specify) | | | |
| * Reduced by Basic Filing Fee Paid | | SUBTOTAL (3) | |

SUBMITTED BY

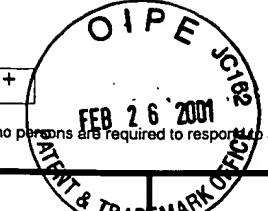
Complete (if applicable)

| | | | | | | |
|-------------------|---|--------------------------------------|--------|-----------|----------------|----------|
| Name (Print/Type) | Gregory D. Caldwell | Registration No. (Attorney/Agent) | 39,926 | Telephone | (503) 684-6200 | |
| Signature |  | | | | Date | 02/20/01 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED

Please type a plus sign (+) inside this box



PTO/SB/06A (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|--|---|----|---|--------------------------|--------------------|
| <p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> | | | | <p>Complete if Known</p> | |
| | | | | Application Number | 09/676,887 |
| | | | | Filing Date | September 29, 2000 |
| | | | | First Named Inventor | Roger Rogard |
| | | | | Group Art Unit | Unassigned |
| | | | | Examiner Name | Unassigned |
| | | | | Attorney Docket Number | 15685P031 |
| Sheet | 1 | of | 2 | | |

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

| | | | |
|-----------------------|--|--------------------|--|
| Examiner Signature | | Date Considered | |
|-----------------------|--|--------------------|--|

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication

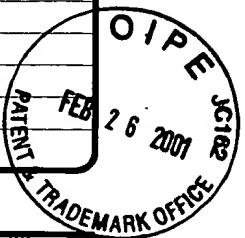
Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington DC 20231.

Please type a plus sign (+) inside this box → +

PTO/SB/06A (10-96)

Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

| | | | | | |
|---|---|----|---|--------------------------|--------------------|
| <p>Substitute for form 1449A/PTO</p> <h1 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h1> | | | | <i>Complete if Known</i> | |
| Sheet | 2 | of | 2 | Application Number | 09/676,887 |
| | | | | Filing Date | September 29, 2000 |
| | | | | First Named Inventor | Roger Rogard |
| | | | | Group Art Unit | Unassigned |
| | | | | Examiner Name | Unassigned |
| | | | | Attorney Docket Number | 15685P031 |



OTHER ART (Including Title, Author, Date, Pertinent Pages, etc.)

| | |
|-----------------------|--------------------|
| Examiner Signature | Date Considered |
|-----------------------|--------------------|

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington DC 20231.